DOCTORATE REGULATIONS

of the Faculty of Chemistry of the Ruhr-Universität Bochum

On the basis of § 2 Section 4 and of § 94 Section 4 of the Law of the Universities of the Land of North Rhine-Westphalia (Hochschulgesetz - HG) in the version of the bulletin of the 14th March 2000 (GV.NW. S. 189), the Ruhr-Universität Bochum has issued the following doctorate regulations as a statute:

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§ 1
Doctor’s Degree

(1) The Faculty of Chemistry will award the degree of Doctor of Natural Sciences (Dr. rer. nat.) on the basis of a proper doctorate procedure.

(2) The Faculty of Chemistry will award the honorary degree of Doctor of Natural Sciences (Dr. rer. nat. h. c.) for particular services to chemistry or biochemistry.

*) In the interests of text simplification, all functional designations have been specified in the male form. They are valid for women in the female form.
§ 2
Purpose of the Doctorate

The doctorate shall serve to prove a particular scientific qualification. This shall be carried out by means of the dissertation and the disputation.

§ 3
Doctorate Committee

(1) The Faculty of Chemistry shall form a doctorate committee for the execution of the doctorate procedure and the tasks designated by these doctorate regulations. The doctorate committee shall be comprised of the chairperson, three deputies and three further members. The chemistry course of studies and the biochemistry course of studies shall be represented appropriately on the doctorate committee.

(2) The chairperson and the deputies are to be elected from the group of professors, one member is to be elected from the group of research assistants and two members are to be elected from the group of students on the student council upon the recommendation of the respective group. Deputies for the members of the doctorate committee are to be elected correspondingly. These persons may not assume the chairmanship of the doctorate committee or a doctorate commission. The members from the group of students should have passed the Bachelor’s examination or the preliminary diploma examination in the chemistry or the biochemistry course of studies.

(3) The term of office of the student members is one year, that of the other members three years. Re-election is permitted.

(4) The doctorate committee is to ensure that the conditions of the doctorate regulations are fulfilled. It is to form the doctorate commissions and to set dates for doctorates. It shall make decisions regarding protests and exceptional circumstances. It can transfer the execution of its tasks for regular cases to the chairperson.

(5) The doctorate committee can be called upon by all fellows and members of the faculty. The chairperson of the doctorate committee shall report to the faculty council at least once a year on the development and the duration of the doctorate procedure.

(6) Protest can be registered with the faculty council against decisions of the doctorate committee in accordance with § 18 Section 3.

§ 4
Requirements for the Doctorate

(1) The qualification for admission to the doctorate procedure is determined by § 97 Section 2 HG.

(2) For admission to the research course of the doctorate course of studies, evidence of the following must be provided:
   a) a course of studies, completed with a diploma examination, in a scientific course of studies in chemistry or biochemistry with a regular duration of at least eight semesters at an academic university or college, or
   b) a completed Master’s degree course of studies in chemistry or biochemistry as defined by § 85 Section 3 Clause 2 HG, or
   c) a completed course of studies with an overall grade of very good (1.5) or better in a scientific course of studies in chemistry or biochemistry with a regular duration of at least six semesters at a scientific university or college as well as 60 credit points with an overall grade of very good (1.5) or better for classes of the doctorate course of studies, or
   d) in exceptional circumstances, a completed course of studies corresponding to letter a) or b) in other natural science subjects or in engineering sciences, or
   e) a completed course of studies comparable to letters a) to d) at a foreign university or college, or
f) a completed course of studies in a scientific course of studies in chemistry or biochemistry with a regular duration of at least eight semesters at a scientific university or college as well as 60 credit points and an average grade of 1.3 or better for courses of the Master’s degree course in biochemistry or chemistry at the Faculty of Chemistry.

g) a completed course of studies with an overall grade of very good (1.5) or better at a technical college, which can be related to the courses of studies at the Faculty of Chemistry as well as 60 Credit Points with an overall grade of very good (1.5) or better for classes in the preparatory course for the doctorate course of studies.

(3) The doctorate committee may make conditions for applications in accordance with letters c) to g). Admission to the preparatory course of studies can only take place if a university lecturer belonging to the Faculty of Chemistry gives written consent that they are prepared to act first as a mentor and then as a supervisor of a dissertation in the doctorate procedure itself in accordance with § 5 Section 2.

(4) A further requirement for admission is evidence of functional knowledge of the English language.

(5) In addition, a course of studies requirement for the admission of students with a completed course of studies at a foreign university or college comparable to letter c), is evidence of sufficient knowledge of the German language, e.g. 2 x TDN 3 (Level step 3) in TestDaf (Test of German as a foreign language). In certain justified exceptional circumstances, in which a successful completion of a course of studies is expected, application may be made by a candidate for a course of studies to dispense with evidence of knowledge of the German language if the doctorate committee is able to ascertain the existence of sufficient knowledge of the German language.

§ 5
Admission as a Doctoral Candidate

(1) The candidate must make an application for admission as a doctoral candidate at the start of the research studies for the doctorate course of studies. The application is to be addressed in writing to the chairperson of the doctorate committee of the Faculty of Chemistry.

(2) Attached to the application should be:

1. a curriculum vitae with details of educational career,
2. a certificate of university entrance qualification or a certificate recognised as being equal by the appropriate state authority,
3. evidence of the existence of the requirements in accordance with § 4,
4. a declaration containing the subject matter of the intended dissertation, as well as the name of the supervisor and their written consent,
5. a declaration whether, and if necessary when and where, a previous attempt to obtain a doctorate may have already been undertaken,
6. evidence of registration for a doctorate course of studies in chemistry/biochemistry,
7. the consent of an examiner in accordance with § 11 Section 4, insofar as the supervisor is not a fellow or a member of the Faculty of Chemistry,
8. the subject of study, topics and examiners in the chosen subsidiary subject courses of the doctorate course of studies. These can be submitted at a later date to the doctorate committee but must be submitted before the end of the second semester of the research course for the doctorate course of studies.

(3) The doctorate committee shall decide upon the admission as a doctoral candidate. The decision is communicated to the applicant in written form. A refusal of admission is to be justified.

(4) The admission must be refused, if

a) there is no professor or private lecturer of the Faculty of Chemistry who is prepared to act as an examiner,

b) in experimental work, there is no professor or private lecturer who is prepared to accept responsibility for providing work materials and/or a place of work.

(5) The admission can be refused in particular, if
a) the candidate has already undertaken an attempt to obtain a doctorate, or
b) the documents are incomplete.

(6) Upon admission as a doctoral candidate, the candidate shall be entered into the list of doctoral candidates of the Faculty of Chemistry. This list, which also contains the subject matter of the planned dissertation, is accessible to all fellows and members of the Ruhr-Universität.

(7) With the admission of the applicant as a doctoral candidate, the doctorate committee accepts the obligation to strive for the examination of the work at a later date.

§ 6
Supervision of the Doctoral Candidate

(1) The supervision of a dissertation can be agreed with any professor or private lecturer of the Faculty of Chemistry, as well as with any professor or private lecturer of the Faculty of Biology or the Faculty of Medicine, who participates in the biochemistry course of studies, or a co-opted professor of another faculty. With the approval of the doctorate committee, a research assistant with a doctor’s degree at the Faculty of Chemistry may also take on the supervision in agreement with a professor or private lecturer of the Faculty of Chemistry. The agreement is to be communicated to the doctorate committee in writing.

(2) If the subject of the doctoral thesis has been agreed in accordance with Section 1, then the person concerned is obliged to carry out the supervision. The supervisor may apply to the doctorate committee to be relieved of this obligation if they are of the opinion that the subject has not been adequately researched, or if there are any other valid reasons. The doctorate committee shall reach a decision after hearing from the doctoral candidate and the supervisor.

(3) If a supervisory relationship is dissolved in accordance with Section 2, or the supervisory relationship should come to an end for any other reason, upon application by the doctoral candidate the doctorate committee shall strive to find an alternative supervisor and to resolve any questions that may arise from the continuation of the dissertation.

(4) If a place of work is not taken up by the doctoral candidate for a length of time without valid reason, the place of work may be assigned to someone else with the approval of the doctorate committee.

§ 7
Doctorate Procedure

(1) The doctorate procedure is comprised of the research course for the doctorate course of studies in chemistry/biochemistry and the doctorate examination. It is designed to communicate the ability to,
- develop a research plan and formulate it in writing,
- carry out independent scientific research,
- execute a research project successfully within a given time frame,
- document the obtained results and to put them in a form suitable for publication,
- present and defend the obtained results before an informed audience.

(2) The doctorate procedure is concluded with the doctorate examination in accordance with the terms of these regulations.

(3) The subject area of the dissertation may be selected, among other subjects, from: Analytical chemistry, inorganic chemistry, biochemistry, biomolecular chemistry, functional materials, organic and supramolecular chemistry, physical chemistry, technical chemistry and theoretical chemistry. Other subject areas may be selected with the approval of the doctorate committee.

(4) The regular course duration of the doctorate course of studies is 3 years. The doctorate committee shall decide upon the admissibility of shorter course durations.
§ 8
Organisation and Content of the Doctorate Course of Studies

(1) The doctorate course of studies is organised into a one-year preparatory course of studies as well as the three-year research course for the doctorate course of studies in chemistry/biochemistry. The doctorate committee shall decide upon the admission to the preparatory course of studies or the immediate admission to the research course.

(2) The one-year preparatory course of studies is intended to create the requirements for independent scientific work in the subsequent doctorate procedure as well as for the broadening of the specialised knowledge required. For students with a chemistry subject area, the volume of studies is approximately 49 hours per semester week (H/SW) in total, and for students with a biochemistry subject area, approximately 56 hours per semester week. Evidence of 60 credit points for this preparatory course of studies is to be provided for subsequent admission to the doctorate procedure in accordance with § 4 Sec. 2 Letter c) or g) or letter d) for students with a degree equivalent to letter c) at a foreign university or college.

(3) The volume of studies for the research course is between approximately 30 and approximately 40 hours per semester week. In the case of successful conclusion of the research course including the examination in the subsidiary subject, the candidate shall receive a certificate of completion of the course of studies, issued by the chairperson of the doctorate committee. Further details regarding the required achievement and participation certificates are regulated by the course regulations for the doctorate course of studies in chemistry/biochemistry.

§ 9
Subsidiary Subject Examination

(1) In the course of the doctorate course of studies, the candidate must pass a 30 to 45-minute oral examination on the content of teaching classes of a subsidiary subject with an overall volume of 4 – 6 hours per semester week.

(2) The teaching classes in the subsidiary subject may be chosen from the elective or focal point lectures of the Master's course of studies in chemistry or biochemistry. In addition, the candidate may apply to choose suitable teaching classes offered by other faculties. The teaching classes chosen may not show a close affinity to the topic of the doctorate dissertation and must be submitted by the candidate to the doctorate committee before the end of the second semester of the research course of studies. The doctorate committee shall decide upon the admissibility of the chosen teaching classes in the subsidiary subject.

(3) The date and time for an oral examination can be freely agreed between the examiner(s) and the candidate. The determination of the date and time is to take place in writing at least three weeks before the oral examination, unless the candidate arranges a shorter deadline. The registration for an subsidiary subject examination becomes binding if the candidate does not withdraw in writing at least seven days before the arranged date.

(4) As a rule, the oral examination is carried out as an individual examination by two examiners or by one examiner in the presence of an informed observer. The essential subjects and results of the oral examination are to be recorded in the minutes.

(5) The grades for the individual examinations are determined by the respective examiners. The grades in § 14 Section 1 are to be used for the evaluation of the examinations.

(6) Candidates who do not pass the oral subsidiary subject examination at the first attempt may resit the examination at a later date. If this repeat examination is not passed, a second repeat examination is permitted.
(7) If the subsidiary subject examination is not passed after two repeat attempts then the doctorate procedure is terminated. The candidate shall be informed of this by written notification, which is to include a statement of rights of redress.

(8) Within a month after conclusion of the subsidiary subject examination procedure, the candidate may apply within an appropriate deadline to be granted the right to inspect the examination records.

§ 10
Admission to the Doctorate Examination

(1) The application for the initiation of the doctorate examination within the doctorate procedure is to be addressed by the applicant in writing to the chairperson of the doctorate committee.

(2) Attached to the application should be:
1. the confirmation of admission as a doctoral candidate,
2. evidence that during the entire duration of the doctorate, the applicant has been registered at the Ruhr-Universität in a doctorate course of studies in chemistry/biochemistry,
3. the completion certificate of the research course for doctorate course of studies,
4. five copies of the dissertation,
5. a declaration that the work has been carried out and written independently and without unauthorised help and has not been submitted in this or a similar form to any other university or college,
6. evidence of registration, insofar as the applicant is not in the civil service or church service,
7. a proposal for the choice of examiner and second examiner in accordance with §11 Section 2 and their declaration of consent,
8. a declaration that the candidate has not already undertaken an unsuccessful attempt to obtain a doctorate from another university or college.

(3) The doctorate committee shall come to a decision regarding the admission on the basis of the submitted documents. The decision is to be communicated to the applicant in writing. A refusal of admission is to be justified.

(4) The admission must be refused, if
a) the documentation is incomplete, or
b) the other requirements set for admission have not been met.

§ 11
Doctorate Commission

(1) A doctorate commission shall be formed for each doctorate examination by the doctorate committee.

(2) The doctorate commission shall be comprised of the chairperson of the doctorate committee or one of the deputies as chairperson, the examiner and the second examiner. Persons may not be nominated as chairperson if they themselves are examiners or second examiners.

(3) The members of the doctorate commission are nominated by the doctorate committee. As a rule, they must be professors or private lecturers. If the supervisor is a research assistant with a doctor’s degree in accordance with § 6 Section 1 then as a rule this person shall sit on the doctorate commission. The wishes of the candidate are to be complied with if possible. The selection of the second examiner shall take place in such a fashion as to guarantee a sufficiently broad specialist basis for the evaluation of the performance in the doctorate examination.

(4) As a rule, the professor or private lecturer under whose supervision the thesis has been written is to be nominated as examiner. If the examiner is not a member of the Faculty of Chemistry, then the second examiner must be a member of the Faculty of Chemistry. If the supervisor is a research assistant with a doctor’s degree in accordance with § 6 Section 1, then the co-operating professor or private lecturer is to be decided upon as examiner.
(5) If there is no second examiner from a similar field of study in the faculty then the doctorate committee may also commission a professor or private lecturer belonging to another faculty of the Ruhr-Universität, or an external professor or private lecturer, to take on the role of second examiner.

(6) On the basis of the examiner's reports, the doctorate commission reaches a decision regarding the admission of the dissertation, is responsible for the execution of the disputation and reaches a decision upon the doctorate examination and its evaluation.

§ 12
Dissertation und Examination

(1) The dissertation, written in the English or German language, must be a scientific discourse written as an appropriate account. It must account for an independent piece of research work and extend the current boundaries of scientific knowledge.

(2) The aids enlisted and the sources used are to be indicated in their entirety.

(3) The dissertation must be submitted ready for printing. The results may be published before the conclusion of the doctorate procedure.

(4) As a rule, discourses with experimental content may only be admitted as dissertation work if the experiments have been carried out predominantly under the supervision of a professor or private lecturer belonging to the Ruhr-Universität or a research assistant in accordance with § 6 Section 1. Exceptions require the approval of the doctorate committee.

(5) Written or experimental work from other examination procedures (e.g. diploma thesis) or parts thereof may not be used as dissertation work.

(6) The dissertation is passed to the examiner and the second examiner. They are each to present an examiner's report with grade to the chairperson of the doctorate committee within four weeks of the submission of the work. The grades stated in § 14 Section 1 are to be used for the evaluation.

(7) If the grades in the examiner’s report and the second examiner’s report differ by more than one grade step according to § 14 Section 1 or if the dissertation is awarded the grade “not satisfactory” in one of the examiner’s reports, the doctorate commission shall commission an additional examiner.

(8) The dissertation is made available for inspection for a period of 21 days. The availability for inspection is to be announced within the faculty. All fellows and members of the Faculty of Chemistry with a doctor’s degree, as well as those students who have been entered into the list of doctoral candidates, possess the right to make a written statement concerning the dissertation that has been made available for inspection. If the applicant has graduated with a degree in biochemistry, then the announcement shall also be made in the Faculty of Biology and the Faculty of Medicine. All members of these faculties with doctor’s degrees also possess the right to make a written statement concerning the dissertation that has been made available.

(9) The doctorate commission shall accept or refuse the dissertation on the basis of the examiner’s reports and the statements, should any exist. It may make conditions for the amendment of the text of the dissertation.

(10) If the dissertation is refused, the doctorate examination is concluded. The applicant is informed of the grounds for refusal of the dissertation in writing. A revised version of the dissertation may be submitted after six months at the earliest. If a refusal occurs again, further doctorate examinations are not permitted. The doctorate procedure is therefore concluded. Written notification of a repeated refusal to accept the dissertation is to include a statement of rights of redress.

(11) The candidate may inspect the examiner’s reports if an application is made to the chairperson of the doctorate committee within one month after the conclusion of the doctorate procedure.
§ 13
Disputation

(1) If the dissertation is accepted, a disputation with the doctorate commission takes place which is open to the university.

(2) The disputation is to be held in the English or German language and lasts for 60 to 75 minutes. After the 15 to 20-minute lecture held by the doctoral candidate on the results of his or her dissertation, the doctorate commission examines for a maximum of 40 minutes. The examination may extend to all subjects of the specialist field of study that are factually and methodically related to the dissertation. With exception of lecture courses in the subsidiary subject, the subject of the disputation may also be selected lecture courses of the research course for the doctorate course of studies. Following this, the chairperson may admit questions concerning the dissertation from those entitled to examine. If the supervisor is not a member of the doctorate commission, then he or she is equally entitled to ask questions in the disputation.

(3) Minutes of the disputation are to be taken and to be signed by the members of the doctorate commission. If the performance in the disputation is deemed to be “not satisfactory”, the disputation may be repeated within six months. The doctorate committee may agree an extension to the deadline upon application by the candidate. A second repeat of the disputation is not possible. The doctorate procedure is therefore concluded. The applicant is to be notified in writing of the grounds for evaluating the disputation as “not satisfactory” and in repeat cases, a statement of rights of redress is to be included.

§ 14
Evaluation of Work in the Doctorate Procedure

(1) The evaluation of the subsidiary subject examination, dissertation and the disputation itself takes place with the grades
"with distinction",
"very good",
"good"
"satisfactory" or
"not satisfactory"
For differentiated evaluation, the grades “very good” and “good” may be supplemented with the addendum “+” or “−”, the grade “satisfactory” may be supplemented by “+”.

(2) Based upon the examiners’ reports and the performance in the disputation, the doctorate commission reaches a decision as to whether a doctor’s degree is to be conferred upon the candidate and with which grade.

(3) The evaluation of the doctorate examination occurs with the overall grades
"with distinction",
"very good",
"good"
"satisfactory" or
"not satisfactory"
(4) The overall grade "with distinction" shall only be awarded in the case of an outstanding disputation and the grade "with distinction" for the dissertation in at least one of the examiners’ reports.

(5) After the conclusion of the consultation, the chairperson of the doctorate commission shall pronounce the conferring of a doctorate. The candidate shall receive a certificate of successful conclusion of the doctorate procedure, which shall also include the overall grade. The certificate does not yet entitle use of the doctor’s title.
§ 15
Doctorate Diploma and Doctorate Certificate, Obligatory Copies

(1) The doctoral diploma and the doctoral certificate are issued on the day of the disputation and only handed over when the obligatory number of printed copies of the dissertation have been submitted, or an abridged version approved by the doctorate committee.

(2) The doctoral certificate includes the overall grade of the doctorate examination as well as the individual grades of the dissertation, the disputation and the oral examination in the subsidiary subject of the research studies. The addenda "+" or "-" are not to be used here.

(3) The number of obligatory copies is:
   a) 40 copies in the case of self-publication, or
   b) three copies if the unabridged publication takes place in a periodical, or
   c) three copies if the dissertation is available at bookseller’s, evidence of an edition of at least 150 copies is provided, and the publication as a dissertation is identified on the back of the title page with a declaration of the place of dissertation, or
   d) in the case of documentation on microfiche, one copy in printable typescript along with a master copy and 40 copies in microfiche form. These must be manufactured to a standard determined by the university library of the Ruhr-Universität, or
   e) three copies of an electronic version, the data format and data carrier of which are to be agreed with the university library.

In the cases according to letters a), d) and e), applicants transfer the rights to the Ruhr-Universität to create and distribute further copies of their dissertation or to make it available on data networks.

(4) The obligatory copies are to be submitted within one year and to be surrendered to the university. The doctorate committee may extend the deadline if a justified application is made.

§ 16
Right of Use and Withdrawal of the Doctor’s Degree

(1) The conferring of a doctor’s degree and the right to use the title of a doctor’s degree comes into effect with the awarding of the diploma by the dean.

(2) If it becomes evident that the applicant has been guilty of deception during the doctorate procedure before the diploma has been awarded, the doctorate committee is entitled to refuse the doctorate and declare the procedure for invalid.

(3) The doctor’s degree may be withdrawn if the holder of the doctor’s degree
   a) has obtained it by deception or by making declarations that are essentially false,
   b) has been sentenced to imprisonment of at least one year for a deliberate criminal offence, or
   c) has been sentenced for a criminal offence, in the preparation or execution of which he or she has made improper use of the doctor’s degree.

(4) The decision to withdraw the doctor’s degree is taken by the faculty council, extended to encompass all members of the group of professors of the faculty, with a majority of three-quarters of the members present.

§ 17
Honorary Doctorate

(1) The faculty may confer an honorary degree of Doctor of Natural Sciences (Dr. rer. nat. h. c.) for particular scientific services to chemistry or biochemistry.

(2) The honorary doctorate can only be conferred upon application by a member of the faculty. The doctorate committee shall consult regarding this application and report to the faculty council.
The faculty council, extended to encompass all members of the group of professors of the faculty, shall make a decision upon the honorary doctorate with a majority of three-quarters of the members. Casting of votes in writing is permitted.

§ 18
Legal Redress

(1) The candidate may register protest with the doctorate committee against decisions made by the examiners and the doctorate commission within one month in accordance with the rules of the Administrative Court regulations.

(2) The doctorate committee may amend decisions made by the doctorate commission against which protest has been registered, or schedule a repeat of the disputation. If the protest is directed at the evaluation of doctoral work, a decision to make an amendment may only be taken with the agreement of all members of the doctorate commission.

(3) Protest may be registered within one month with the faculty council against resolutions passed by the doctorate committee.

§ 19
Coming into Force

These doctorate regulations shall come into force on the day after their publication in the Bulletin of the Ruhr-Universität Bochum (Amtliche Bekanntmachungen (AB) der Ruhr-Universität Bochum). Simultaneously, and irrespective of the regulation in § 20, the doctorate regulations of the 15th January 1997 (GABI.NW.1997 Nr. 274) shall cease to be effective.

§ 20
Interim Regulations

Applicants, who have already been entered into the list of doctoral candidates of the Faculty of Chemistry at the time of the coming into force of these doctorate regulations, may apply to undertake a doctor's degree according to these doctorate regulations upon application for admission to the doctorate examination in accordance with § 10 Sec. 1. Should such an application not be made, then their doctorate examination shall be carried out according to the doctorate regulations of the 15th January 1997 (GABI.NW.1997 Nr. 274) or according to the doctorate regulations of the 15th October 1973 (GABI.NW.1974 S. 540) amended on the 25th April 1979 (AB RUB Nr. 59 of the 25.4.1979).

Drawn up on the basis of the resolution passed by the faculty council of the Faculty of Chemistry of the 24.06.2002

Bochum, the 31st October 2002

The Rector
of the Ruhr-Universität Bochum

University Professor Dr. D. Pezina